Co-evolution of Author IDs and Research Information Infrastructure in the Netherlands

Clifford Tatum , SURF Market

L'identité du publiant à l'épreuve du numérique Enjeux et perspectives pour l'identification des auteurs — Bordeaux,16 June 2015

Affiliations

Collaborative organisation for ICT in Dutch higher education and research

SURF

CWTS
Meaningful metrics

Centre for Science and Technology Studies

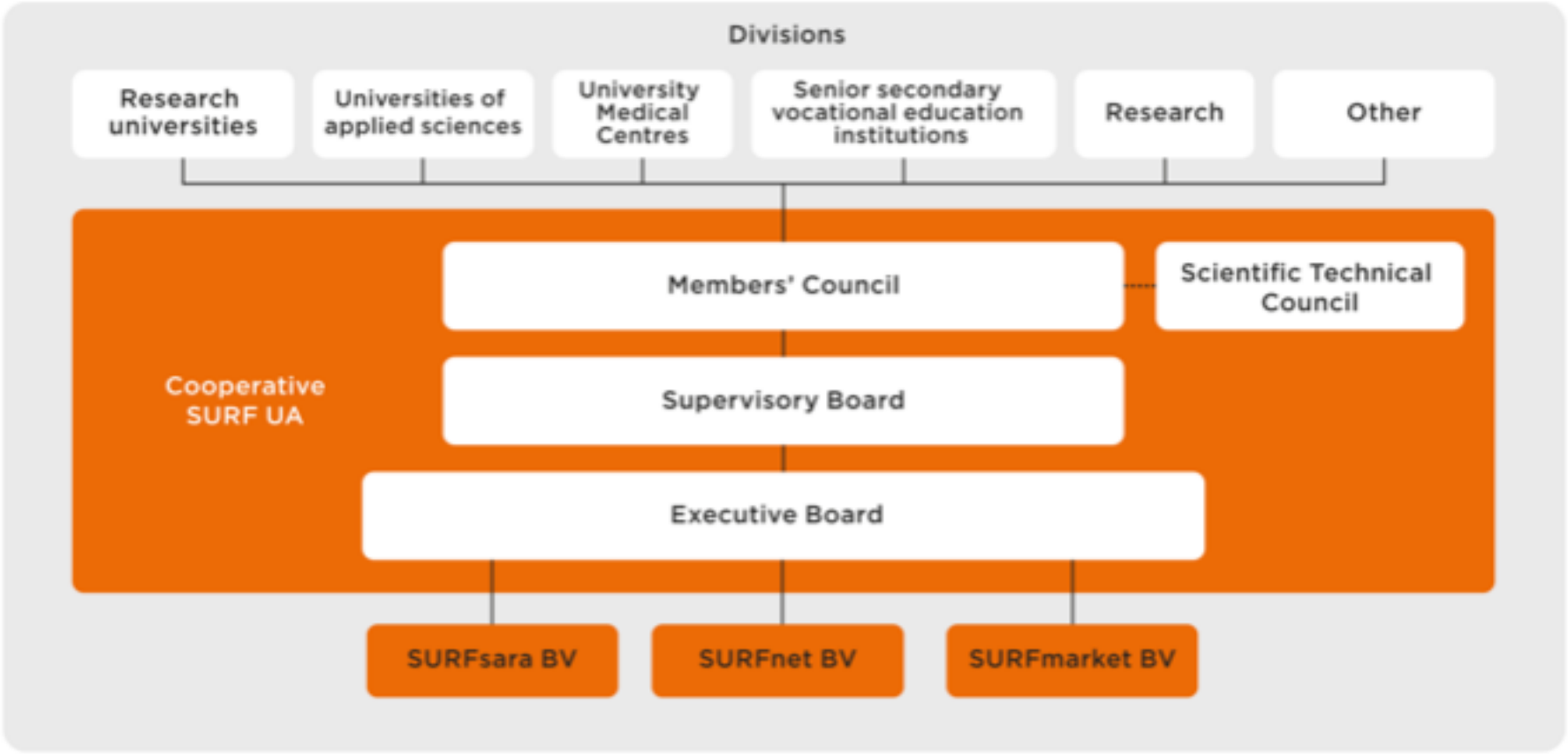
Universiteit Leiden

outline

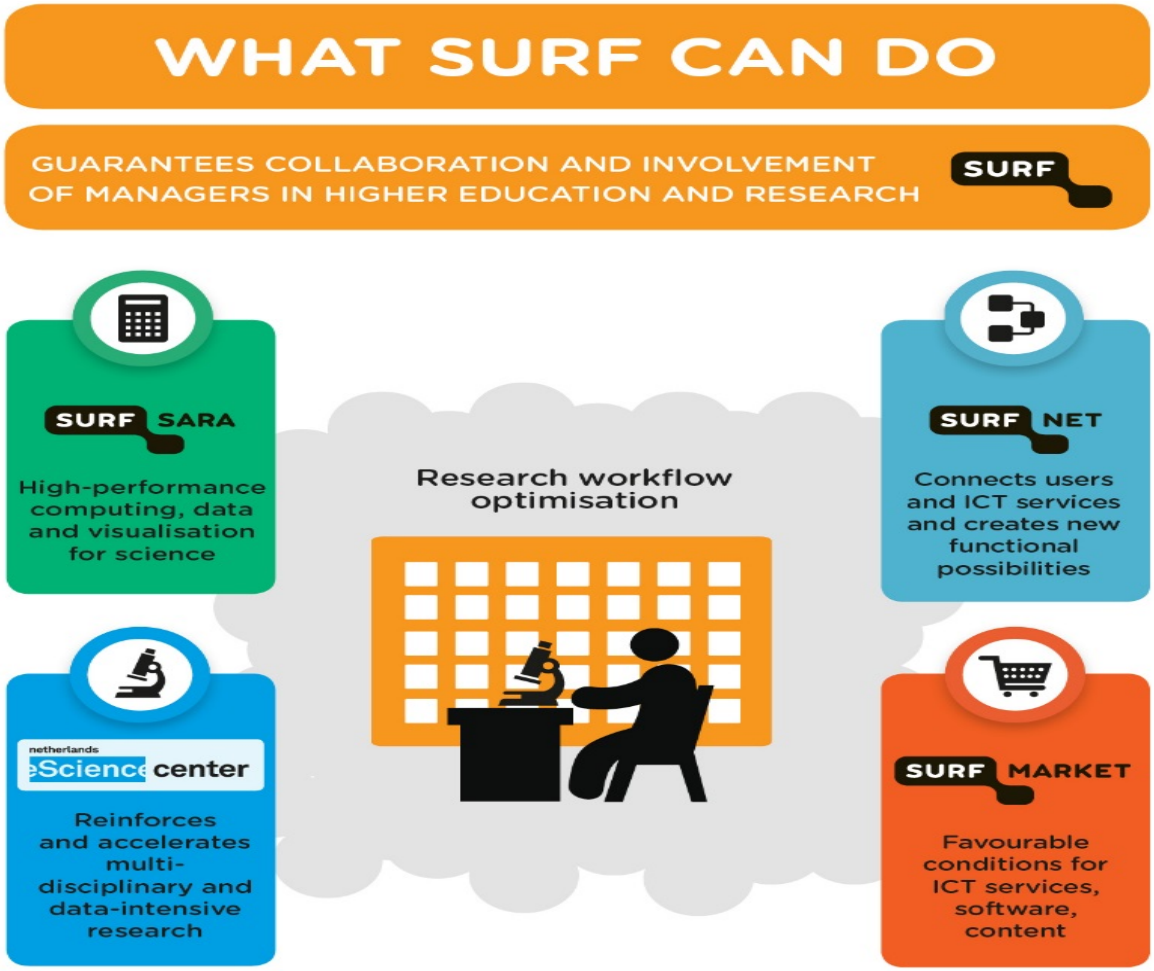
- SURF organization
- Dutch author identification
- Research information context
- ORCID pilot project

the SURF organization

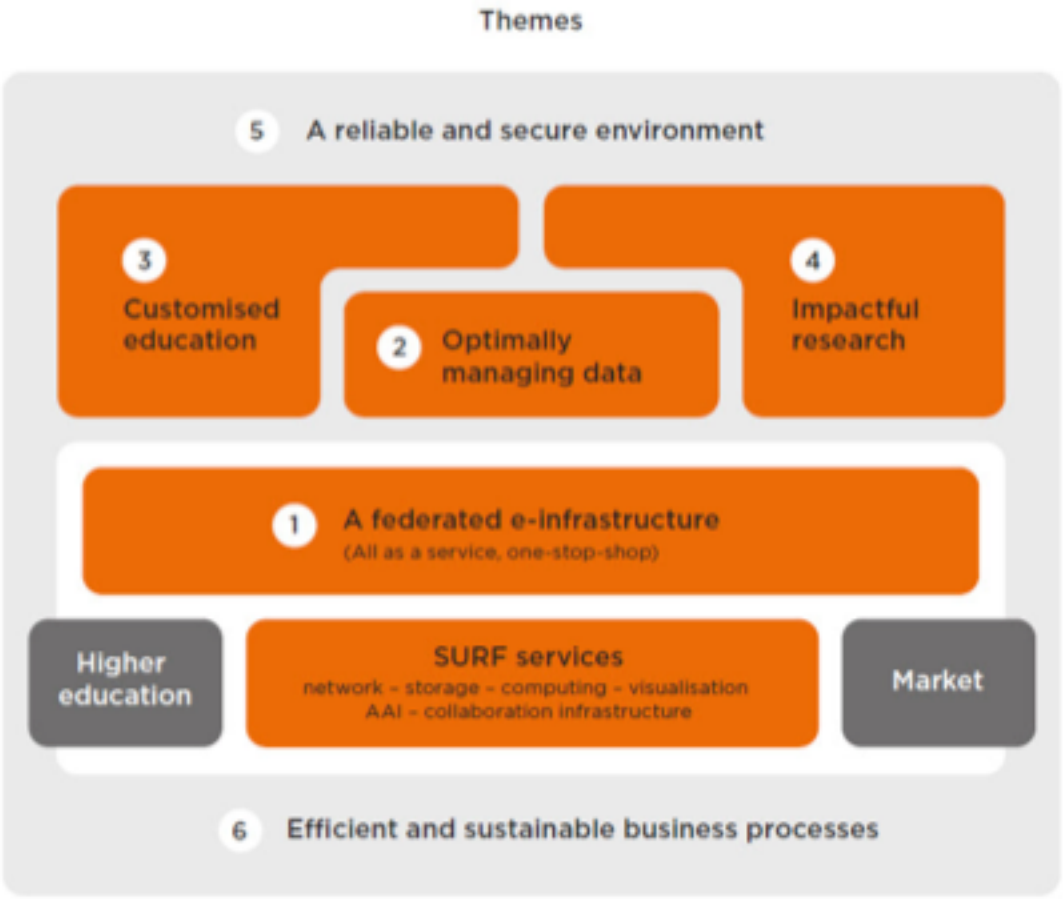
SURF as cooperative (since 2015)



What SURF can do



Strategic themes 2015-2018



10 innovation programmes

- P1 Interconnected infrastructure
- P2 Computing and data infrastructure
- P3 Federated e-infrastructure
- P4 Sustainable data
- P5 Personalised education
- P6 Seamless ICT for research
- P7 Open Access
- P8 Trust and security
- P9 Efficient business administration
- P10 Sustainable ICT

- www.surf.nl/strategic-plan

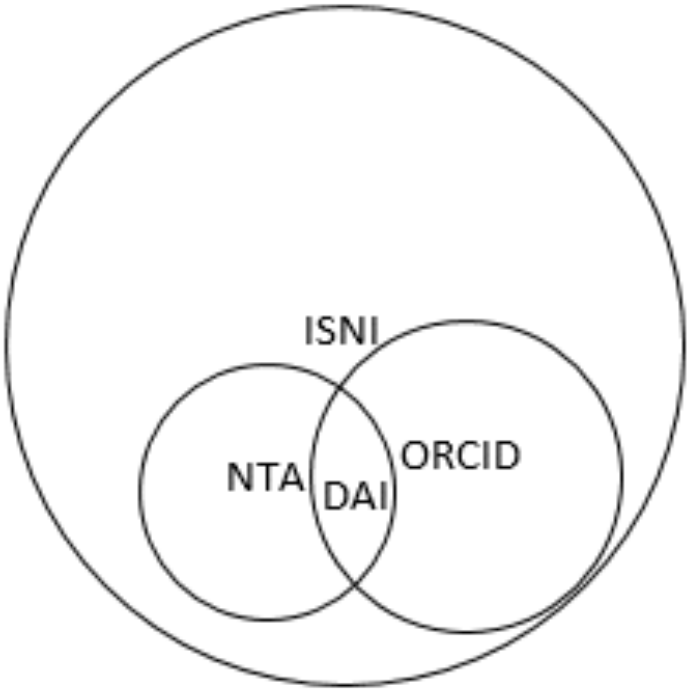
Author Identification

- NTA (Netherlands Authors Thesaurus)
- DAI (Digital Author Identifier)
- ISNI (International Standards Name Identifier)
- ORCID (Open Researchers and Contributor ID)
- VAIF (Virtual International Authority File)

background: Author IDs in the Netherlands

Conceptual overlap among ID Systems

- ISNI - Int'l identities of contributors
- ORCID Int'l researcher identities
- NTA - (Dutch) identities of contributors
- DAI - (Dutch) researcher identities

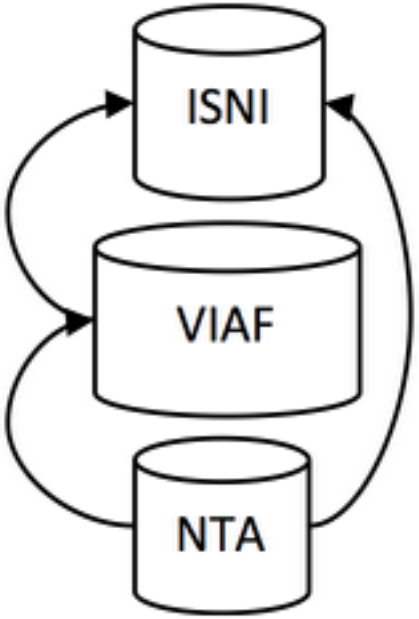


background: Author IDs in the Netherlands

Development of Digital Author Identifier program (2005)
- Unique number for Dutch academic authors
- Based on the linkage between METIS and NTA
- DAIs assigned based on presence in National Author Thesaurus

DAI group: KB, OCLC, DANCE, SURF, institutions and UKB
- National Library (KB): NTA functional management and help desk
- OCLC: technical management NTA

Recent Developments
- transition from METIS to contemporary CRIS systems
- emerging international ID standards: ORCID and ISNI
- National mandate for 100% Open Access



Recent developments

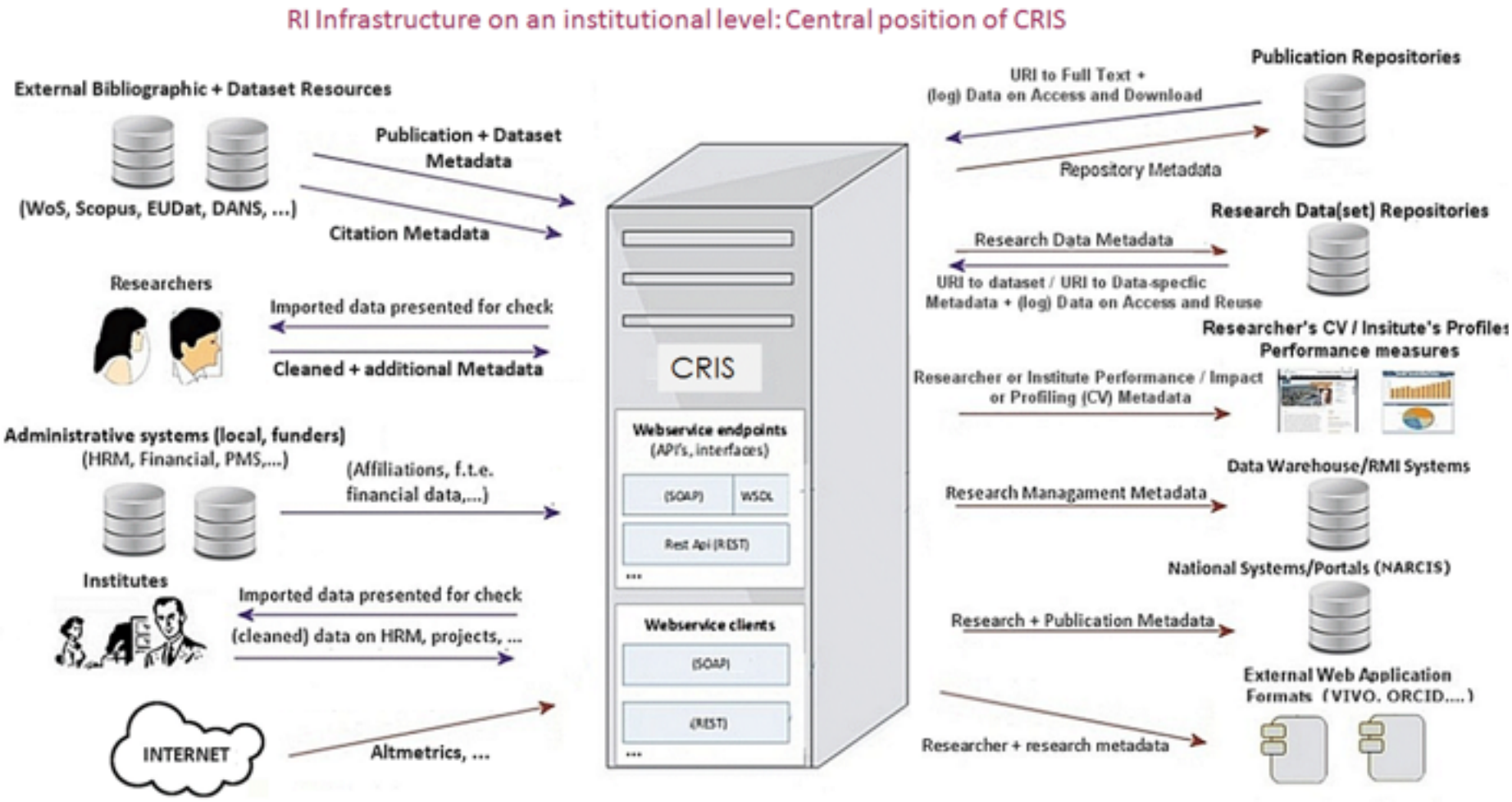
SURF recommendation

1. use ISNI as long term (general) author ID, including dead authors
2. implement ORCID as author ID within scientific community
3. motivate researchers to ‘claim’ ORCID
4. integrate ISNI and ORCID in CRIS systems (registration of research output)
5. if sufficient interest among institutions, negotiate national ORCID license
6. establish an ISNI registration agency in the Netherlands
7. transition DAIs to ISNIs (universities, nation library, and OA repositories)
8. conduct ORCID pilot project (3 use cases/universities)

Research Information

- Research objects/outputs
- Open Access repositories
- CRIS (Current Research Information Systems)
- Interoperability issues

RISE of CRIS systems in Europe (and euroCRIS)



source: http://eurocris.org

Research Information in The Netherlands

- Evolved into serving two domains
  - Institutional Research
  - Library

- Main research information infrastructures
  - METIS: Research information systems
  - NARCIS: (Open Access) Repository network
  - GGC / Digital Author Identifier: Library catalogue

- Standard Evaluation Protocol (SEP)
- VSNU, NWO, KNAW, Rathenau Institute

Evolution of CRIS in The Netherlands

History

- 1992: METIS (OZIS)
- 2008-2012: Joint European Tender ‘NL RIS’
- now: Individual procurement

Current situation

- METIS
- Converis
- Pure
- …?

METIS

table 5.2 Research staff at institutional and programme level

Entire Insti
Tenured staf
Non-tenured
PhD-candida
Total resear
Support staf
Visiting fell
Total staff
Research pr
Tenured staf
Non-tenured
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Note 1: Com
Note 2: Com
Note 3: Stan

table 5.3 Main categories of research output at institutional and programme level

Entire Instit
Refereed arti
Non-refereed
Books
Book chapter
PhD-theses
Conference p
Professional
Publications
Other researc
Total public
Research pr
Refereed arti
Non-refereed
Books
Book chapter
PhD-theses
Conference p
Professional
Publications
Other researc
Total public
Research pr

Note 1: Artic
Note 2: Publ
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Note 3: Also
Note 4: Othe
(e.g. engineering) and medi

table 5.4 Funding at institutional and programme level

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Contract res
Other (5)
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Other costs
Total exper
Research p
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#1 <name p
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#3 <name p
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Total Fund

Note 1: Nu
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Note 2: Dir
Note 3: Res
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Note 4: Res
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Note 5: Fu

table 5.5 Standard PhD-Candidates (1)

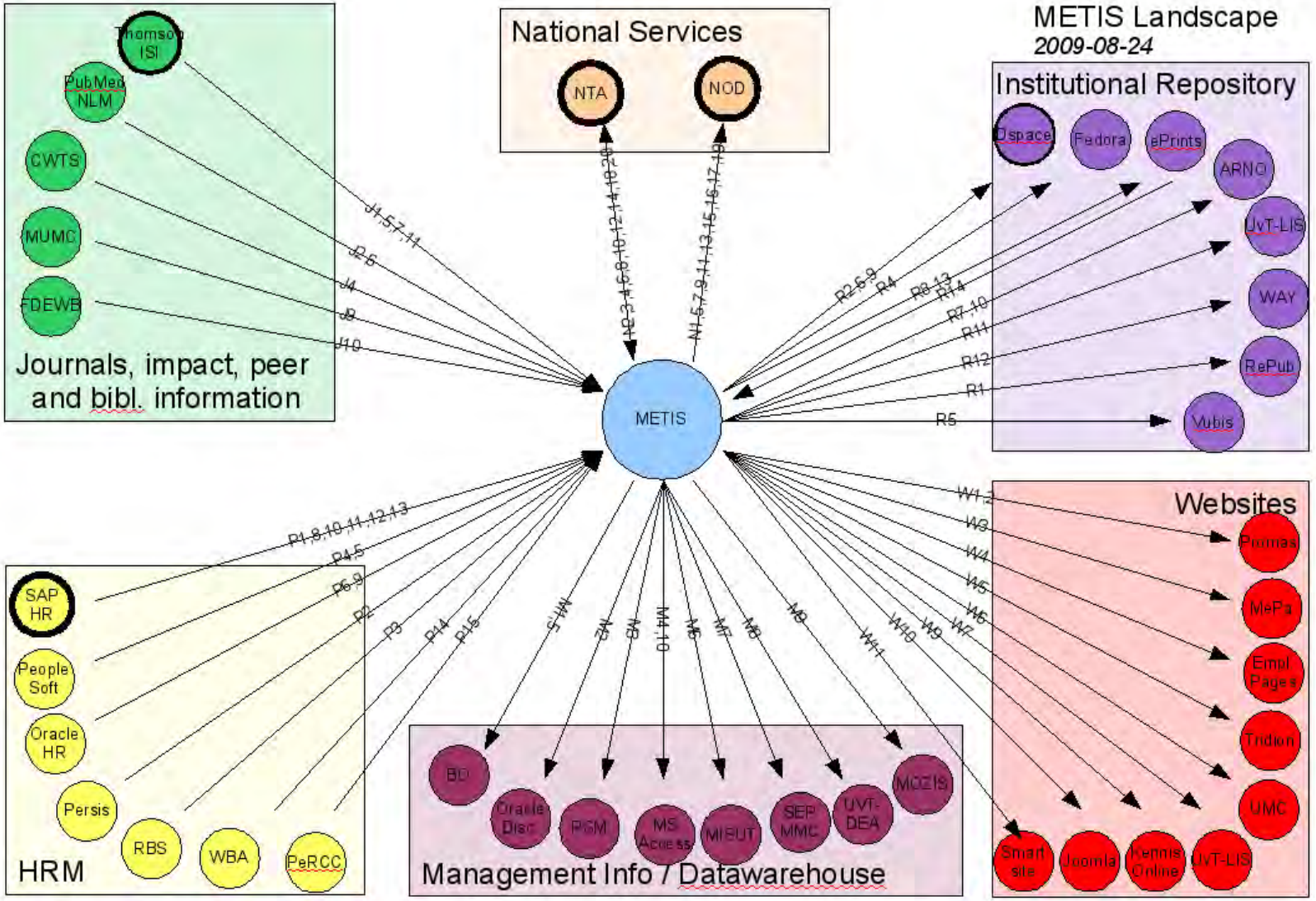
Enrolment				Succes rates				Total		
Start-ing year	Enrol-ment (male / female)		Total (male+ female)	Gradu-ated after (≤) 4 years	Gradu-ated after (≤) 5 years	Gradu-ated after (≤) 6 years	Gradu-ated after (≤) 7 years	Total gradu-ated	Not yet finished	Discon-tinued
T-8	*#M*	*#F*	#	#/%	#/%	#/%	#/%	#/%	#/%	#/%
T-7	*#M*	*#F*	#	#/%	#/%	#/%	#/%	#/%	#/%	#/%
T-6	*#M*	*#F*	#	#/%	#/%	#/%	-	#/%	#/%	#/%
T-5	*#M*	*#F*	#	#/%	#/%	-	-	#/%	#/%	#/%
T-4	*#M*	*#F*	#	#/%	-	-	-	#/%	#/%	#/%

Note 1: Standard PhD-candidate with employee status and conducting research with primary aim/obligation to graduate; (AiO, promovendus)

table 5.6 Contract PhD-candidates (1)

Enrolment				Success rates				Total		
Start-ing year	Enrol-ment (male / female)		Total (male + fe-male)	Gradu-ated after (≤) 4 years	Gradu-ated after (≤) 5 years	Gradu-ated after (≤) 6 years	Gradu-ated after (≤) 7 years	Total gradu-ated	Not yet finished	Discon-tinued
T-8	*#M*	*#F*	#	#/%	#/%	#/%	#/%	#/%	#/%	#/%
T-7	*#M*	*#F*	#	#/%	#/%	#/%	#/%	#/%	#/%	#/%
T-6	*#M*	*#F*	#	#/%	#/%	#/%	-	#/%	#/%	#/%
T-5	*#M*	*#F*	#	#/%	#/%	-	-	#/%	#/%	#/%
T-4	*#M*	*#F*	#	#/%	-	-	-	#/%	#/%	#/%

Note 1: Contract PhD-candidates without employee status, receiving external funding or university scholarship, conducting research under the authority of the institute with primary aim to graduate; (beurspromovendus)


METIS Landscape
2009-08-24
National Services
NTA
NOD
Journals, impact, peer and bibl. information
Thomson ISI
PubMed NLM
CWTS
MUMC
FDEWB
J1,5,7,11
J2,6
J4
J9
J10
J3,1,6,8,10,12,14,18,20
J1,5,7,9,11,13,15,16,17,19
METIS
Institutional Repository
Dspace
Fedora
ePrints
ARNO
UvT-LIS
WAY
RePub
Vubis
R2,5,9
R4
R8,13
R14
R7,10
R11
R12
R1
R5
HRM
SAP HR
People Soft
Oracle HR
Persis
RBS
WBA
PeRCC
R1,8,10,11,12,13
R4,5
R6,9
R2
R3
R14
R15
Management Info / Datawarehouse
BO
Oracle Disc
PSM
MS Access
MIBUT
SEP MMC
UVT-DEA
MCCIS
M1,5
M2
M8
M1,10
M6
M7
M9
M3
M11
Websites
Primas
MePa
Empl Pages
Tridion
UMC
Smart site
Joomla
Kennis Online
UvT-LIS
W1,2
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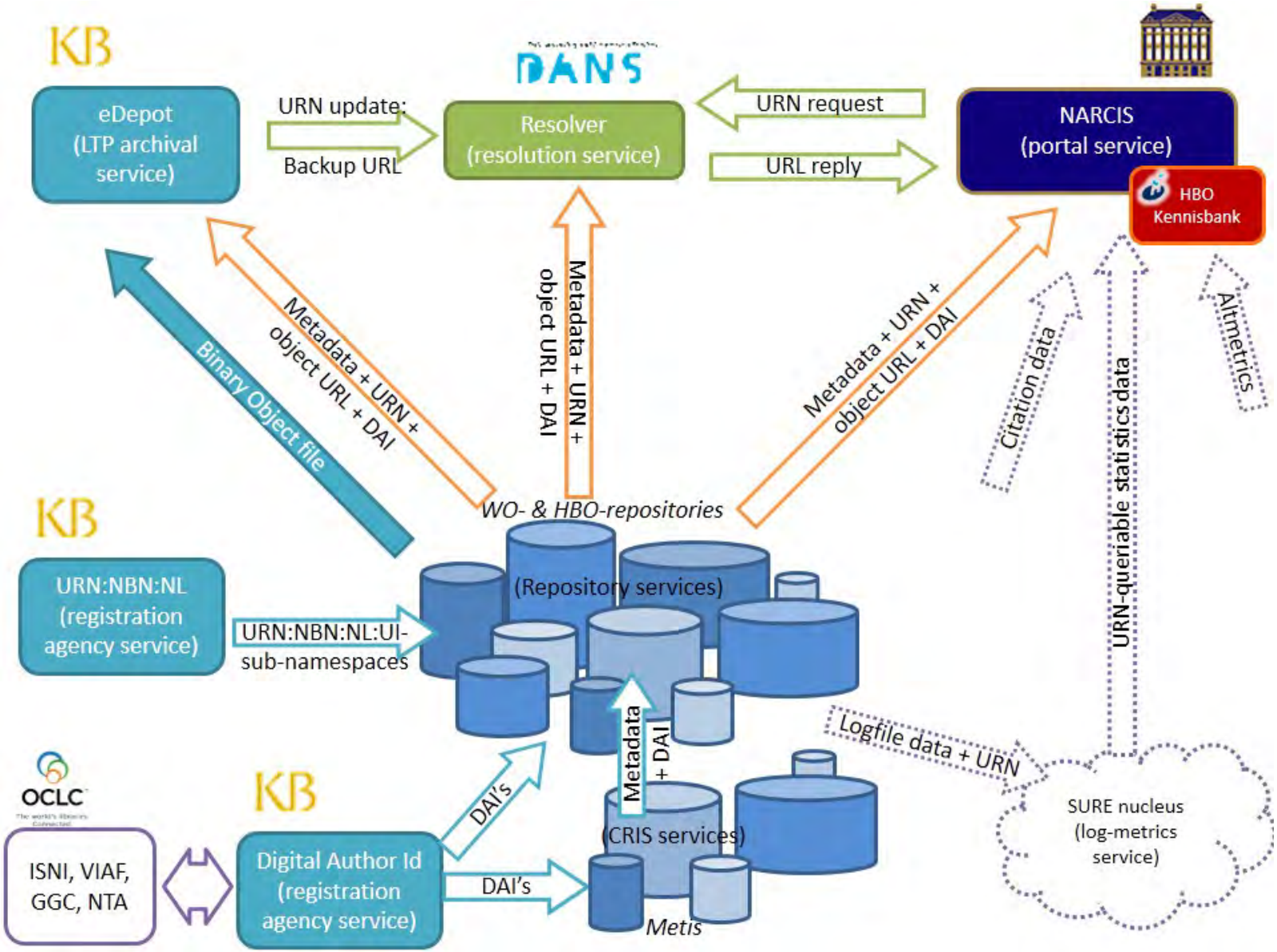


- Maurice Vanderfeesten, SURF

ORCID Pilot

- **use case 1**: Open Access publishing
- **use case 2**: integrating DAI, ISNI, ORCID in CRIS
- **use case 3**: SURFconext (federated identity)

use-case 1: ORCID & Open Access

context: national open access mandate

Government of the Netherlands

Home > Documents and publications > Parliamentary documents

Documents and publications [/documents-and-publications]

Open Access to publications

Parliamentary document | 21-01-2014

During the general parliamentary consultations on Science Policy of 18 April 2013, I promised to explain my ideas about the practice of providing open access to research publications and how that practice will continue to evolve. The principle of open access involves offering readers worldwide access to research publications, journals and books free of charge. My contention is that access to the results of publicly and publicly-privately funded research should always be unrestricted. Because such research is paid for from the public purse and technical impediments are essentially non-existent, I believe open access should be rolled out in the near future. Open access promotes knowledge sharing and knowledge circulation, which in their turn contribute to the Netherlands' innovative capacity.

The first steps towards open access were taken twenty years ago, when researchers began sharing their publications with one another on the Internet. In the past ten years, various parties in the Netherlands have been working towards creating an open access system. A wide variety of rules, agreements and options for open access publishing have emerged in the research community. The situation is confusing for authors, readers and publishers alike, and the stakeholders would like this confusion to be resolved as quickly as possible.

It is for that and for the following reasons that I wish to regulate open access:

1. The stakeholders – researchers, universities and publishers – have, for one reason or another, been unable to arrive at a single system for making access to publications arising from publicly and publicly-privately funded research free for everyone at the point of use. The relevant organisations in the Netherlands, including the publishers, have indicated that a fast transition from subscription-based publishing to open access would be beneficial to them.
2. Open access is a cross-border matter and I will therefore be discussing it with my counterparts in various other countries. I will invite them to join me in considering how best to put an international system of open access into

See also

→ Science [/issues/science]

Responsible ministry

→ Ministry of Education, Culture and Science [/ministries/ocw]

The principle of open access involves offering readers worldwide access to research publications, journals and books free of charge. My contention is that access to the results of publicly and publicly-privately funded research should always be unrestricted.

My preference is "golden" open access; in other words, publication in journals that make research articles available online free of charge. My aim is for the Netherlands to have switched entirely to the golden road to **open access within ten years, in other words by 2024.** In order to achieve this, at least 60 per cent of all articles will have to be available in open access journals in five years' time.

Secretary Dekker - 2013, 2014

(other national mandates: UK, DK, SE…)

use-case 1: ORCID & Open Access

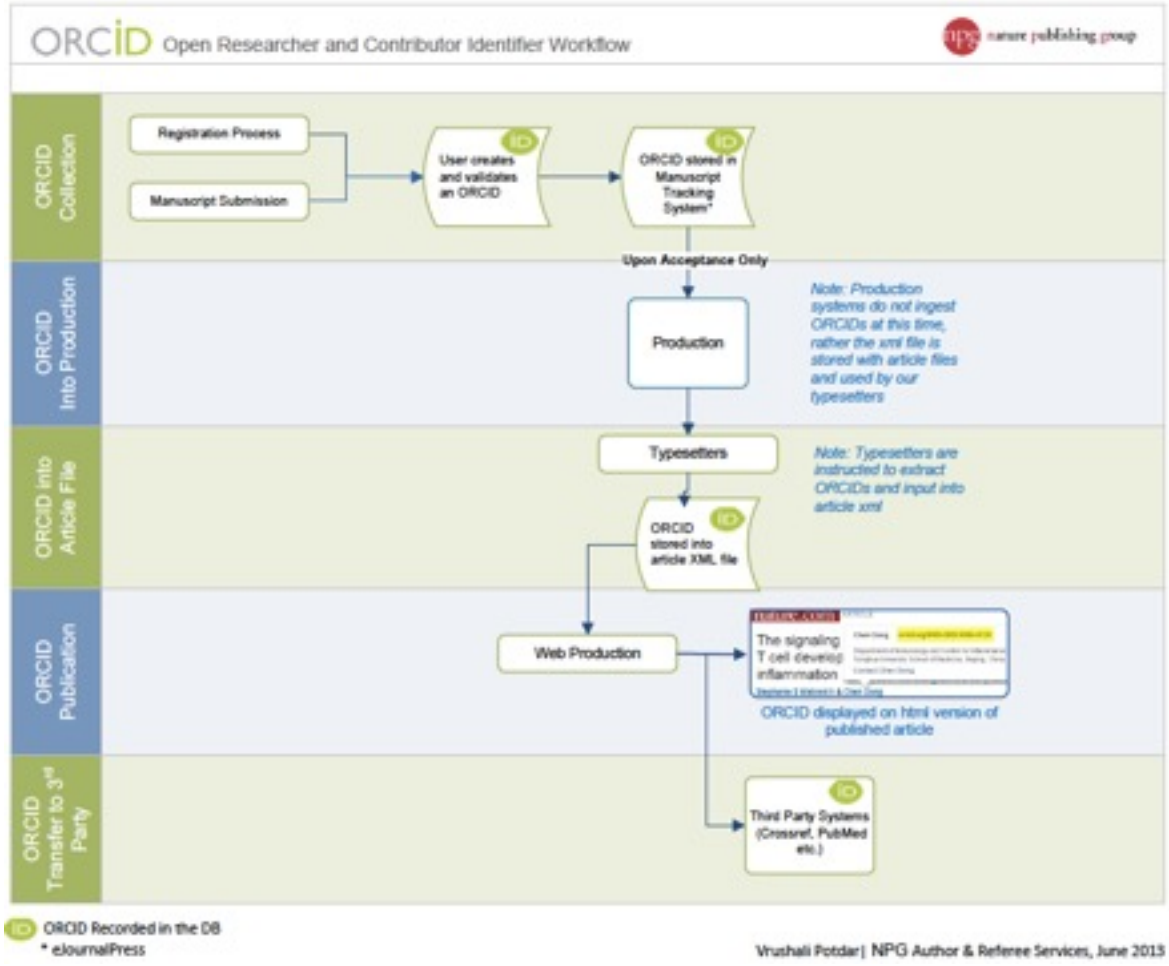
Objectives

upon submission of manuscript (to Springer journals)

- link existing ORCIDs
- prompt registration of new ORCIDs
- include ORCIDs in article metadata

use-case 1: ORCID & Open Access

sample workflow



source: orcid.org

use-case 1: ORCID & Open Access

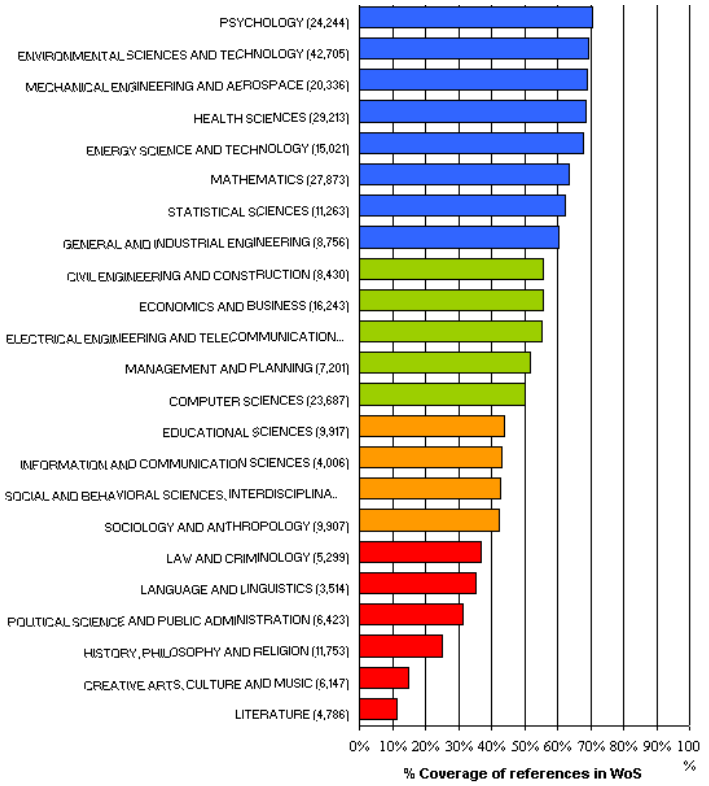
sample workflow

source: orcid.org

use-case 2: CRIS integration

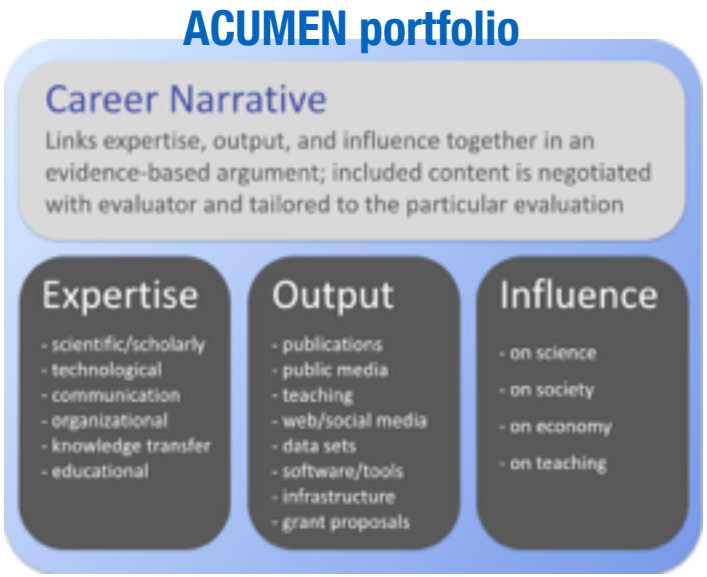
context: research evaluation

- increased use of bibliometric indicators
- limited to journal publications
- uneven coverage of SSH



use-case 2: CRIS integration

context: data sources for research evaluation

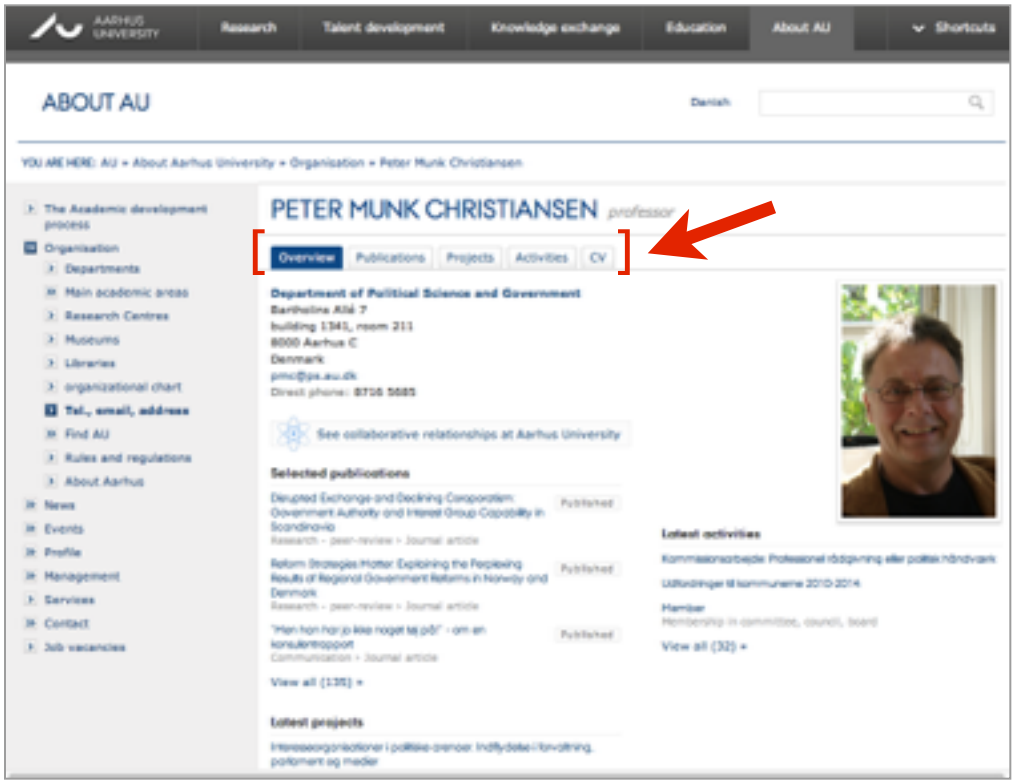


Academic Careers Understood through Measurements and Norms
European 7th Framework collaborative project
Capacities, Science in Society 2010
Grant Agreement: 266632

- increase output types
- link output to author
- link output to funding
- portability of profiles

use-case 2: CRIS integration

context: data sources for research evaluation



- import publishing data
- author registration

use-case 2: CRIS integration

context: data sources for research evaluation

- possible to collect and show citation data
- source for internal assessment

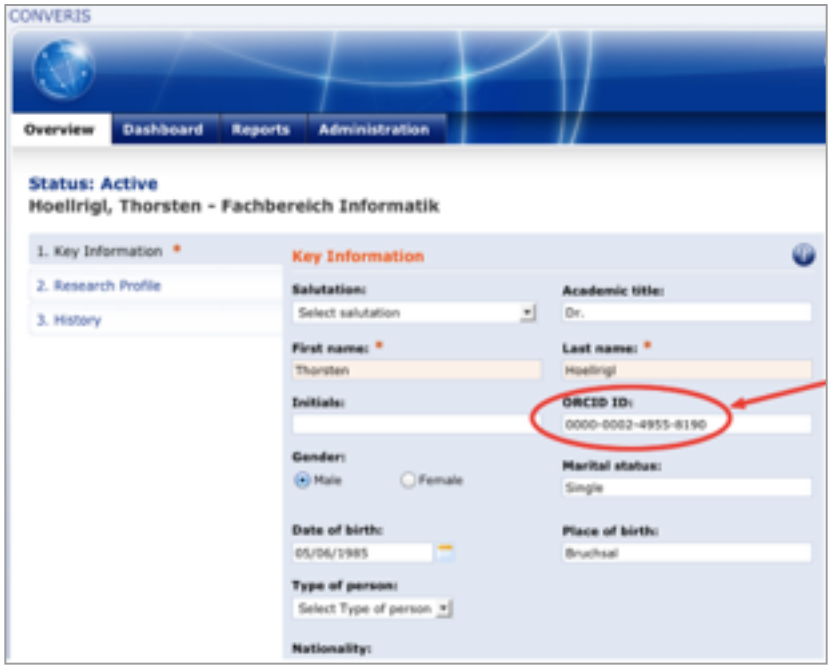
use-case 2: CRIS integration

Objective

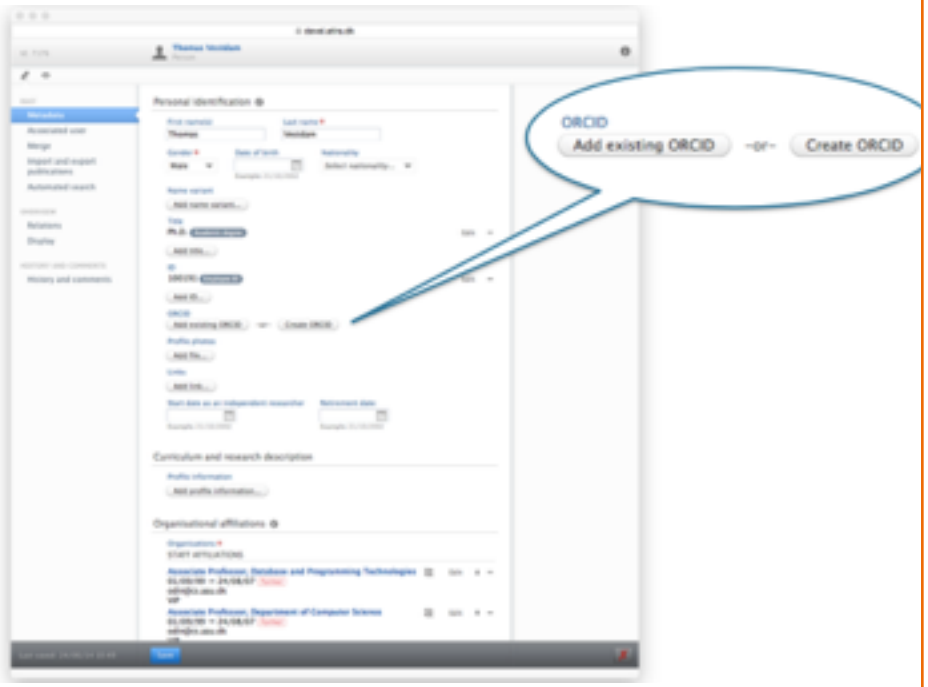
- integrate ORCID in data structure (CERIF)
- integrate OCID into registration workflow
- link/map ORCID to DAI and ISNI
- import existing ORCID
- register new ORCID from CRIS system

use-case 2: CRIS integration

sample workflow



Converis (Thompson Reuters)



Pure (Elsevier)

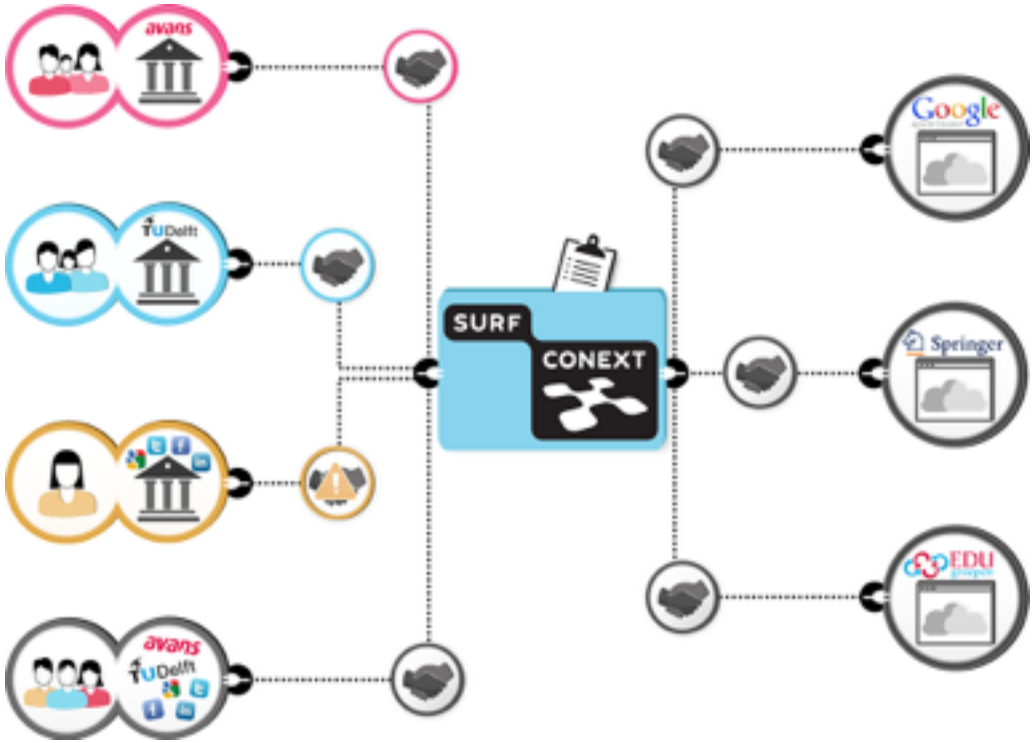
source - http://www.slideshare.net/ORCIDSlides/converis

source - http://www.slideshare.net/ORCIDSlides/pure-orcid-presenationwebinardecember2014

use-case 3: SURFconext (federated identity)

context: existing authentication service

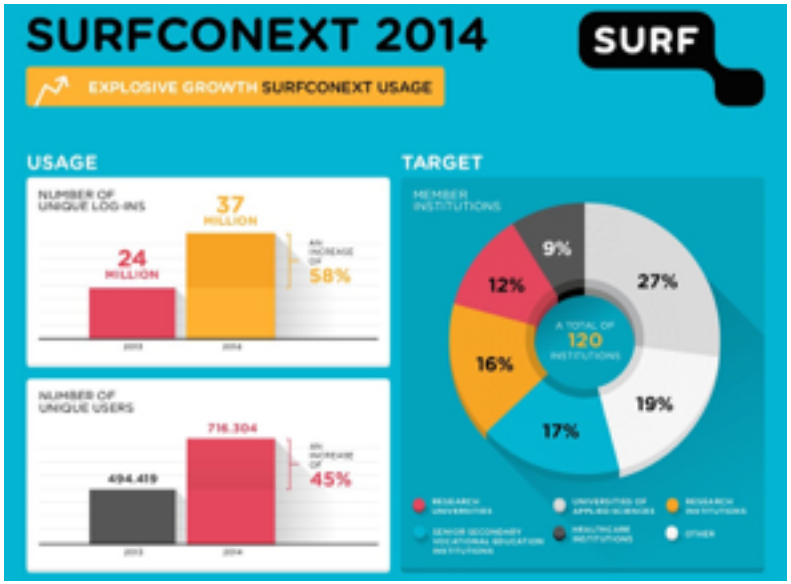
- mediates authentication between institution (identity holder) and service provider
- single sign-on functionality
- multiple service providers
- collaborative features, such as team spaces and conferencing tools

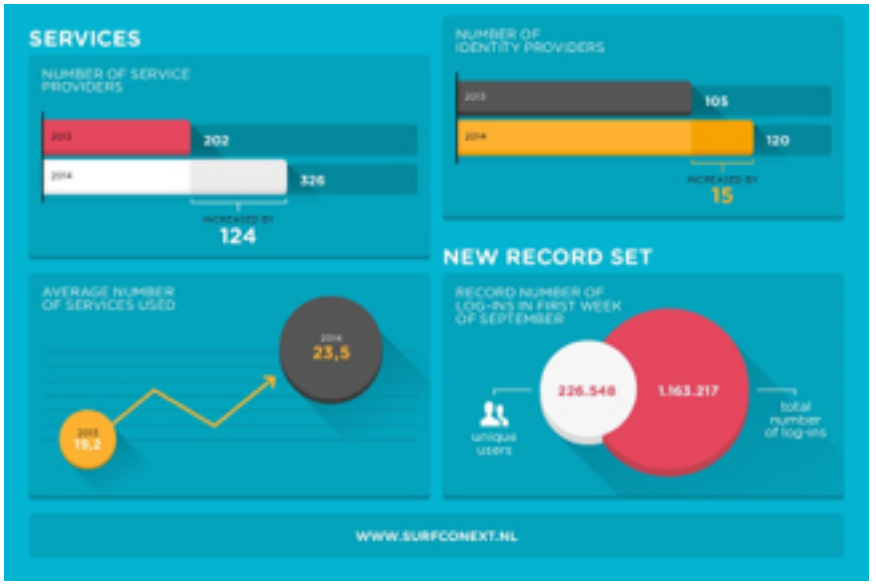


ref - https://wiki.surfnet.nl/display/surfconextdev

use-case 3: SURFconext (federated identity)

context: existing authentication service





ref - https://wiki.surfnet.nl/display/surfconextdev

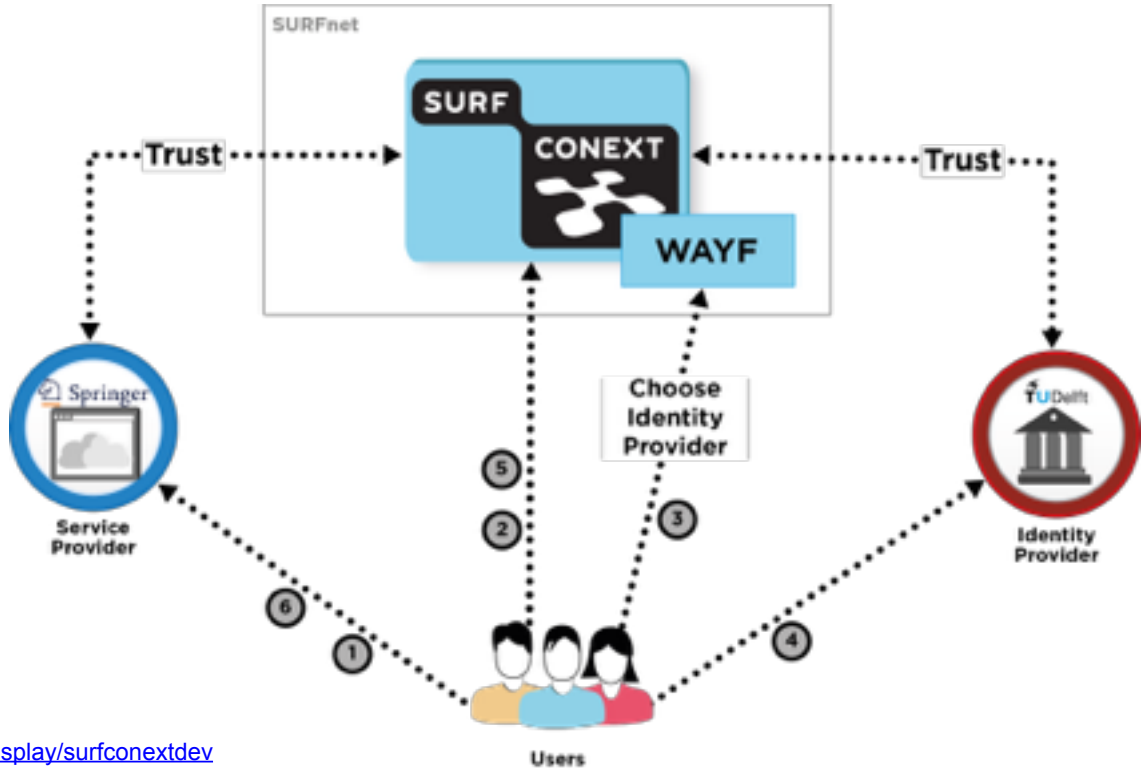
use-case 3: SURFconext (federated identity)

Objective/status

- integrate ORCID as an attribute in SURFconext
- work ongoing with ORCID
- potential use in CRIS environment

use-case 3: SURFconext (federated identity)

(existing) workflow



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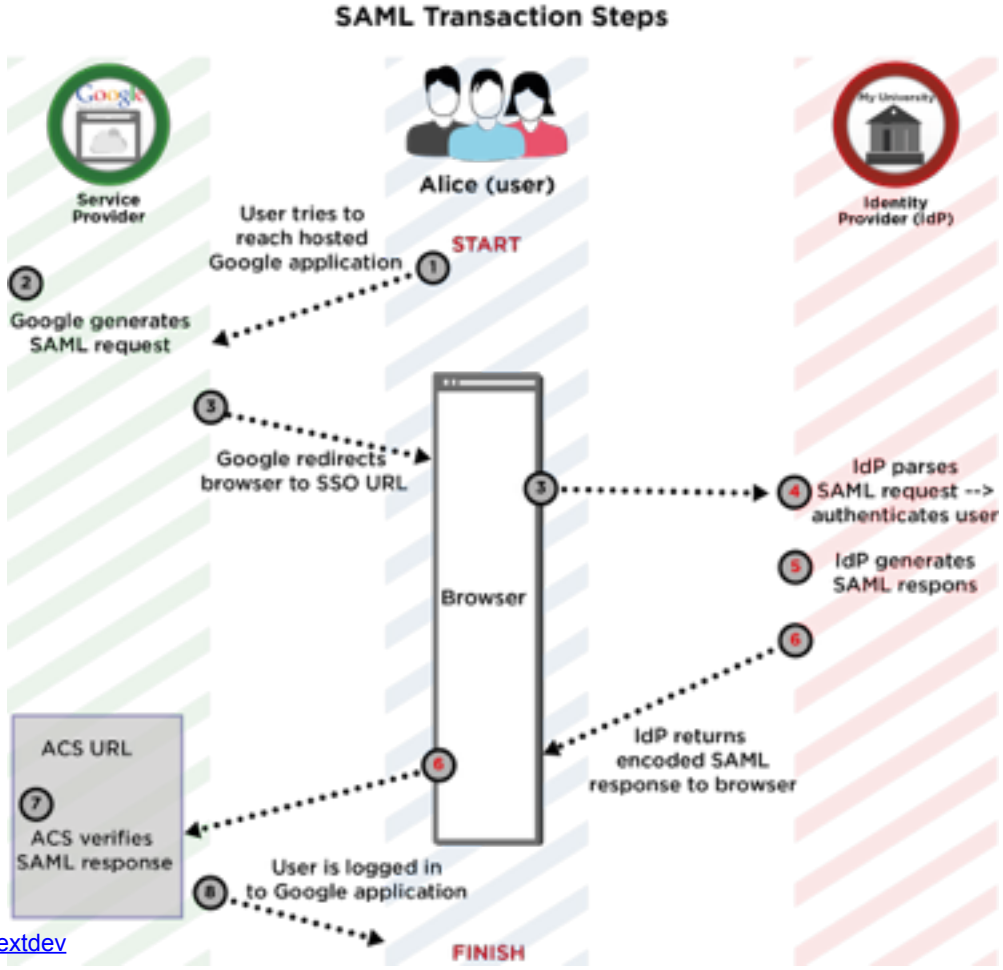
use-case 3: SURFconext (federated identity)

(existing) workflow



ref - https://wiki.surfnet.nl/display/surfconextdev

Thank you for your attention!

c.c.tatum@cwts.leidenuniv.nl

www.surf.nl